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Q&D - Office of Water - Water Quality Standards Unit Records Disposition Schedules

RECORD SERIES DESCRIPTION	DISPOSITION	NARA #
Link to the common Housekeeping Schedules not included in this table	Link to your full printable OWW - WQSU File Plan Spreadsheet	
ADMINISTRATIVE RECORDS - PERMITS: The administrative record is required for issuance of draft and final permits for Prevention of Significant Deterioration (PSD), Resource Conservation and Recovery Act (RCRA), National Pollutant Discharge Elimination System (NPDES), and Underground Injection Control (UIC), when EPA is the permitting authority. The record includes the permit application, draft permit or notice of intent to deny, statement of basis and documentation, the environmental impact statement (NPDES only), comments received during the public comment period, public hearing transcripts and related documentation, and the final permit. Includes NPDES except minors, pretreatment, ocean dumping, section 404 dredging and fill, PSD, and TSCA PCB disposal. Item a: RCRA land disposal Item b: UIC and UIC exemptions Item c: NPDES minor permits Item d: All other permits Function: 204-079 210	Item a: Disposable Close inactive records at issuance of administrative record. Destroy 30 years after file closure. Item b: Disposable Close inactive records at issuance of administrative record. Destroy 30 years after file closure. Item c: Disposable Close inactive records at issuance of administrative record. Destroy 10 years after file closure. Item d: Disposable Close inactive records at issuance of administrative record. Destroy 10 years after file closure.	N1-412-07-36 Status: Final, 06/30/2007
ADMINISTRATIVE RECORDS PURSUANT TO THE ADMINISTRATIVE PROCEDURE ACT: The purpose of the administrative record is to document preregulatory and nonregulatory risk management decisions. It contains meeting notes and summaries, correspondence, press releases, reports, and public comments. The records are available to the public except for information excluded by statute. Excludes: Superfund site-specific administrative records covered by EPA 019 and administrative records for permits covered by EPA 210. Item a: Record copy Function: 108-025-08 294	Item a: Permanent Close inactive records at the conclusion of a significant action. Transfer nonelectronic records to the National Archives 20 years after file closure. Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.	N1-412-07-2/10 Status: Final, 06/30/2007
CONTRACT MANAGEMENT RECORDS: Contract records include all correspondence and related records pertaining to the award, administration, receipt, inspection and payment of any and all contracts to which EPA is a party and which are maintained and	Item b: Disposable Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.	N1-412-06-6/5 Status: Final, 10/31/2008

includes reviews and audits conducted by the Financial Analysis and Rate Negotiation Service Center (FARSC).

Excludes: Superfund site-specific contract management records scheduled as EPA 020; final deliverables scheduled as EPA 258; and unsuccessful bids and proposals not filed with the related contract case files scheduled as EPA 275.

Item b: Contract-level Contracting Officer's Representative (COR)
Formerly called Project Officer (PO)

Item c: Other Contracting Officer's Representative (COR)
Includes Delivery Order CORs, Simplified Acquisition CORs, Task Order CORs, and Work Assignment CORs. Formerly called Delivery Order Project Officer (DOPO) or Work Assignment Manager (WAM)

Function: 405 **202**

Item c: Disposable

Close inactive records upon filing of final invoice or completion or termination of the task order or work assignment.

Destroy 6 years and 3 months after final payment for the overall contract.

DIRECTIVES AND POLICY GUIDANCE DOCUMENTS ISSUED BY SPECIFIC PROGRAMS AND REGIONS: Includes all records that document EPA's major policy decisions and program operational procedures originated within each program and regional office providing the mandates for overall and specific program direction and action. Records consist of official policy decisions, delegations of authority, memos that set policy or issue guidance, operating guidance, procedures manuals, other procedural materials, technical resource documents, regulatory interpretation and implementation documents, and mandates for action. These collections of materials may be in the form of a program directives system or a program compendium with finding aids and indexes.

Item a(1): Published or released to the public and related background materials - Nonelectronic

Item a(2): Published or released to the public and related background materials - Electronic

Item a(3): Published or released to the public and related background materials - Electronic copy of records transferred to the National Archives

Item b: Unpublished or not released to the public and related background materials

Function: 306-112 **007**

Item a(1): Permanent

Close inactive records upon issuance or publication or when superseded.

Transfer to the National Archives in 5 year blocks, 20 years after file closure.

Item a(2): Permanent

Close inactive records upon issuance or publication or when superseded.

Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.

Item a(3): Disposable

Close file upon transfer to the National Archives.

Delete after electronic record copy is successfully transferred to the National Archives.

Item b: Disposable

Close inactive records upon decision to not publish or issue.

Destroy 10 years after file closure.

N1-412-06-7

Status: Final,
01/31/2008

ENFORCEMENT ACTION FILES: Includes all cases referred to Office of Regional Counsel or other offices with enforcement authority, for action against a pollution source or discharger. Includes correspondence, meeting documentation, inspections, field notebooks, evaluations, documentation of administrative actions including notices of violation, notices of deficiency, information requests, warning letters, administrative compliance orders, documentation of civil and criminal actions; corrective action orders, attorney work products, case summaries, pleadings, state and local enforcement records, settlement documents including consent decrees.
Excludes: Superfund site-specific and oil spill site-specific enforcement actions scheduled as EPA 025 and EPA 480, respectively.

Item a: Disposable

Close inactive records upon settlement or closing of case.

Destroy 10 years after file closure.

Item b: Disposable

Close inactive records upon settlement or closing of case.

Destroy 20 years after file closure.

Item c(1): Permanent

Close inactive records upon settlement or closing of case.

Transfer to the National Archives in 5 year blocks 20 years after file closure.

N1-412-07-2/9

Status: Final,
02/29/2008

<p>Item b: Judicial case files where routine legal actions are required</p> <p>Item c(1): Landmark or precedent cases - Nonelectronic Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(2): Landmark or precedent cases - Electronic Includes cases as designated by the Regional Administrator's designee.</p> <p>Item c(3): Landmark or precedent cases - Electronic copy of records transferred to the National Archives Includes cases as designated by the Regional Administrator's designee.</p> <p>Function: 108-025-08 207</p>	<p>Item c(2): Permanent Close inactive records upon settlement or closing of case. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time.</p> <p>Item c(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-27</p> <p>Status: Final, 2/28/2011</p>
<p>FINAL DELIVERABLES AND REPORTS: Consists of final draft and final deliverables, products, and reports submitted by contractors and grantees to the Agency, or produced in-house by individuals, committees, or task forces. Also includes final reports resulting from special studies and surveys completed within the Agency.</p> <p>Item a(1): Environmental programs, except Superfund site-specific - Nonelectronic</p> <p>Item a(2): Environmental programs, except Superfund site-specific - Electronic</p> <p>Item a(3): Environmental programs, except Superfund site-specific - Electronic copy of records transferred to the National Archives</p> <p>Item b: Superfund site-specific</p> <p>Item c: Non-environmental programs</p> <p>Function: 305-100-01 258</p>	<p>Item a(1):Permanent Close inactive records upon completion of project. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2):Permanent Close inactive records upon completion of project. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable Close inactive records upon completion of project. Destroy 30 years after file closure.</p> <p>Item c:Disposable Close inactive records upon completion of project. Destroy 7 years after file closure.</p>	<p>N1-412-06-27</p> <p>Status: Final, 2/28/2011</p> <p>N1-412-07-34</p> <p>Status: Final, 7/31/2010</p>
<p>GRANTS & OTHER PROGRAM SUPPORT AGREEMENTS: Includes records that document all types of agreements with other federal, state, or local government agencies, universities, non-profit organizations, Tribes, and other institutions to which EPA is a party, and that support EPA's environmental programs (other than Superfund site-specific, and waste water construction and state revolving fund grants). Specific types of agreements include assistance agreements, grants, cooperative agreements, interagency agreements, agreements for "guest" workers, and other types of program support agreements administered by headquarters or EPA regions and that provide for research, demonstration projects, training, fellowships, investigation, surveys, studies, or other types of program support activities.</p>	<p>Item a: Disposable Close inactive records immediately after closeout of the agreement. Destroy 10 years after file closure.</p>	<p>N1-412-07-34</p> <p>Status: Final, 7/31/2010</p>

documentation of significant actions and decisions relating to and supporting the award of agreements, documentation of actions and decisions relating to the competition of agreements, announcements and solicitations of funding opportunities, justifications, requests and justifications for the non-competitive award of agreements, cost estimates, scopes of work, correspondence, applications, pre-award reviews, funding decisions, award documentation, documentation relating to the evaluation of proposals and applications, conflict of interest documentation, transmittal correspondence, agreements, agreement oversight activities, non-compliance documentation, dispute documentation, audit records, closeout documentation for completed agreements; and reports and evaluations resulting from agreements.

Excludes: Final products and deliverables (EPA 258), Superfund site-specific grants and agreements (EPA 001), and waste water construction and state revolving fund grants (EPA 232).

Item a: Record copy

Function: 205 **003**

<p>PROGRAM DEVELOPMENT FILES: Consists of records related to the development of environmental and administrative policies and programs. Records consist of correspondence, briefing books and papers, issue papers and reports relative to policy, strategy, program control, research priorities, legislative priorities, published and unpublished directives and policy guidance documents, and related records that document the development of environmental programs, program priorities and objectives, program evaluation and planning, and similar topics.</p> <p>Item a(1): Record copy - Nonelectronic Item a(2): Record copy - Electronic Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-02 145</p>	<p>Item a(1): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 20 years after file closure.</p> <p>Item a(2): Permanent Close inactive records at the end of the activity, project, or topic. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-29</p> <p>Status: Final, 1/31/2011</p>
<p>PROGRAM MANAGEMENT FILES: Includes records which relate to the on-going management of programs and routine projects within programs. Types of files include both mission and operational programs and may be maintained by one or more organizational units. Specific types of records include correspondence; memoranda; staff meeting records such as agendas, background papers, attendance lists, and meeting minutes or summaries; routine office procedures; and reports relating to general policy and program matters, oversight reviews, interagency activity, research and other similar materials. Also includes project control files showing assignments, progress, and completion of projects.</p> <p>Excludes: General administrative and routine housekeeping records (EPA 110) and organization and program development records (EPA 145).</p> <p>Item b: Other than senior officials</p>	<p>Item b: Disposable Close inactive records at end of calendar year. Destroy 5 years after file closure.</p>	<p>N1-412-06-6/2</p> <p>Status: Final, 12/31/2009</p>

<p>GUIDELINES: Files contain information relating to the development, review, and approval of published and unpublished rules and regulations pursuant to environmental legislation passed by Congress. Records include drafts of proposed regulations and guidelines, the final regulations and guidelines, public and internal comments including concurring and dissenting opinions, OMB request for comments, hearing transcripts, meeting minutes, background documents and other technical support material generated during the process to develop and approve the regulation, standard, or guideline, along with current indexes of documents both included and cited as precedent. Files may include confidential business information or other information to which access is restricted.</p> <p>Item a: Published regulations, standards, and guidelines</p> <p>Item b: Unpublished regulations, standards, and guidelines</p> <p>Function: 306-114 149</p>	<p>Close inactive records upon promulgation of rule or approval of guideline.</p> <p>Transfer nonelectronic records to the National Archives 20 years after file closure.</p> <p>Transfer electronic records to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1228.270 or standards applicable at the time. Delete EPA reference copy 20 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p> <p>Item b: Disposable</p> <p>Close inactive records upon decision to not publish the regulation, standard, or guideline.</p> <p>Destroy 10 years after file closure. If record is microform, destroy paper after quality assurance is completed.</p>	<p>Status: Final, 06/30/2007</p>
<p>SPECIAL STUDIES: Contains supporting files relating to the development of special studies and surveys produced in house by individuals, committees or task forces. Examples of such studies include topics such as environmental levels of toxic substances, coastal zone management, or economic benefits and impacts of pesticides.</p> <p>Excludes: Final studies and surveys scheduled as EPA 258 and management studies scheduled as EPA 105.</p> <p>Item a: Record copy</p> <p>Function: 108 005</p>	<p>Item a: Disposable</p> <p>Close upon completion of study.</p> <p>Destroy 7 years after file closure.</p>	<p>N1-412-07-1/1</p> <p>Status: Final, 7/31/2010</p>
<p>STATE AND OTHER ENTITY PROGRAM AUTHORIZATION AND APPROVAL FILES: Contains records that document the process for authorizing operation of a program by states and other entities in lieu of a federal program. Types of records include the application with background and supporting documentation, correspondence, copies of statutes and regulations, interim authorizations, and documentation of public participation activities. Also includes documents relating to EPA's review, evaluation, and determination of the program, development of enforcement and environmental standards, as well as authorization withdrawals as it applies to the initial program authorization and subsequent revisions</p> <p>Item a(1): Record copy - Nonelectronic</p> <p>Item a(2): Record copy - Electronic</p> <p>Item a(3): Electronic copy of records transferred to the National Archives</p> <p>Function: 304-104-03 204</p>	<p>Item a(1): Permanent</p> <p>Close inactive records at end of year or after new authorization is signed.</p> <p>Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item a(2): Permanent</p> <p>Close inactive records at end of year or after new authorization is signed.</p> <p>Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3): Disposable</p> <p>Close file upon transfer to the National Archives.</p> <p>Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-07-2/8</p> <p>Status: Final, 1/31/2011</p>
<p>STATE AND OTHER ENTITY RELATIONS AND OVERSIGHT FILES: Contains records used to oversee programs operated in lieu of a</p>	<p>Item a: Disposable</p> <p>Close inactive records at end of year.</p>	<p>N1-412-07-1/9</p>

<p>corrective actions.</p> <p>Item a: Record copy</p> <p>Function: 301-093 203</p>		
<p>TRAINING MATERIAL: Contains records used by Agency personnel in planning, preparing, writing, arranging, and conducting training programs for EPA and non-EPA employees, including state and other federal agency personnel. Records consist of working files generated during training development phase, training workgroup meeting notes, correspondence, training participation surveys and rosters, instructional materials, manuals, and other training aids.</p> <p>Excludes: Records for training administered by the Personnel program scheduled as EPA 571.</p> <p>Item a: Routine training materials. Includes training course plans and materials used for personnel and management training unrelated to the environmental missions of the Agency.</p> <p>Item c(1): Mission-related training materials - Nonelectronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(2): Mission-related training materials - Electronic. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p> <p>Item c(3): Mission-related training materials - Electronic copy of records transferred to the National Archives. Includes training course plans and materials used for training in functions or activities related to the environmental goals of the Agency and its programs.</p>	<p>Item a: Disposable Close inactive records after course or material is superseded. Destroy 5 years after file closure.</p> <p>Item c(1):Permanent Close inactive records after course or material is superseded. Transfer to the National Archives in 5 year blocks 20 years after file closure.</p> <p>Item c(2): Permanent Close inactive records after course or material is superseded. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item c(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p>	<p>N1-412-06-11</p> <p>Status: Final, 04/30/2012</p>
<p>Function: 305-109-02-04 200</p>		
<p>WATER QUALITY PLANNING & MANAGEMENT FILES: Contains documents relating to water quality planning, management and implementation undertaken by EPA, states, interstate, regional and local agencies. Also includes documents dealing with nonpoint source implementation projects and information on projects such as reservoirs, and nuclear power plants which may affect water quality. Includes water quality management plans, water quality reports, TMDLs (Total Maximum Daily Loads), load allocation working papers, water quality models, correspondence and other related documents.</p> <p>Item a(1): Final plans and annual and biennial reports - Nonelectronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters Office of Water covered by EPA 429.</p> <p>Item a(2): Final plans and annual and biennial reports - Electronic Excludes: State 305(b) water quality reports submitted to Congress by the Headquarters</p>	<p>Item a(1):Permanent Close inactive records at end of year. Transfer to the National Archives 10 years after file closure.</p> <p>Item a(2):Permanent Close inactive records at end of year. Transfer to the National Archives 5 years after file closure, with any related documentation and external finding aids, as specified in 36 CFR 1235.44-1235.50 or standards applicable at the time.</p> <p>Item a(3):Disposable Close file upon transfer to the National Archives. Delete after electronic record copy is successfully transferred to the National Archives.</p> <p>Item b:Disposable</p>	<p>N1-412-08-7/2</p> <p>Status: Final, 2/28/2011</p>

transferred to the National Archives
Excludes: State 305(b) water quality reports
submitted to Congress by the Headquarters
Office of Water covered by EPA 429.
Item b: Supporting files

closure.

Function: 108-025-02 213

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